

SBIR/STTR Preparation Guidelines

Jim Weichel

CD-doc-4169

V1

11/30/2010

1. Introduction

This document is intended to help people in preparing the necessary documents provided by Fermilab and associated with submission of a Small Business Innovation Research ([SBIR](#)) or a Small Business Technology Transfer ([STTR](#)) proposal by a business. It also includes key Fermilab contacts for the process. A sample of the required documents is included in a separate pdf file ([SBIR_Documents_Sample.pdf](#)).

An SBIR/STTR proposal is written by a small business in response to a solicitation from a government agency, typically the DOE or NSF if Fermilab is involved. Proposals often have subcontracts for particular research or technology expertise and that is typically the way Fermilab would be involved since the program is directed at small businesses. So Fermilab might be involved in an SBIR/STTR by:

1. Collaborating closely with a small business to encourage them to apply for an SBIR to develop software to meet our need. Such an SBIR may or may not include any subcontracting to Fermilab, but we would review the proposal to ensure that the result would meet our need.
2. Having a previous relationship with a small business where there is mutual interest in participating.
3. Being approached by the business with a proposal to work together.
4. Specifically identifying a small business with which we would like to collaborate on a project and then working with that company in identifying an SBIR/STTR opportunity.

2. Fermilab Process

To participate as an SBIR/STTR subcontractor, all that is required is to get the necessary Fermilab approvals. To do this, there needs to be a Statement of Work (SOW) and associated Budget sheets that show what Fermilab is committing to do and the effort that will be required. The small business will also need a Letter of Commitment / Expression of Interest to include in their proposal to show that Fermilab has agreed to provide the effort should the proposal be successful.

Victoria White must approve the project/resource for the Computing Division and [Bruce Chrisman](#) will prepare the Letter of Commitment/Expression of Interest from Fermilab (see [SBIR_Letter_of_Commitment_Sample.pdf](#)). The whole process will require a minimum of **3 weeks but beginning a month or two before the proposal is due is best.**

The SOW should describe the work to be done by Fermilab, including the deliverables, expertise, and equipment/environment that will be used. It should identify who will work on the project or where the resource will come from (e.g. hire a summer student, use existing staff...). Since this will be the key document to be reviewed for Fermilab approval, it needs to state how Fermilab will benefit from the project whether that be gaining a new competency, solving an existing or expected problem, or gaining a better understanding of an important technical issue.

The steps and contacts for participating in an SBIR/STTR proposal are:

1. Establish a relationship with the small business that is prepared to submit a proposal to an agency solicitation.
2. Contact [Valena Sibley](#) in the division office to let her know that you are planning on participating in an SBIR/STTR proposal. She can provide a budget template and budget justification document, and clarify what needs to be done and the time required.
3. Work with the small business to develop a plan for the project and the respective roles/deliverables.
4. Write an SOW (e.g. an MSWord document) as described above and illustrated in the SBIR_Documents_Sample.pdf.
5. Work out the resource need and complete the budget template. Although it is not required, a one-page budget justification document can be useful in that it describes the project, names and describes the role of the senior and other personnel and covers travel and indirect costs (that Valena can provide).
6. Submit the SOW and Budget documents to Valena to get Fermilab approvals. You can expect this approval to require 2 weeks.
7. Follow up to make sure approvals are completed by the deadline and that Bruce Chrisman forwards the Letter of Commitment / Expression of Interest to the small business. The Letter of Commitment / Expression of Interest will be included in their proposal.

3. After Grant is Awarded

After an SBIR/STTR grant is awarded to the small business, Fermilab must execute a subcontracting agreement with the small business and receive the money. [Mary Jo Lyke](#) is the Fermilab contact for these agreements. She will work with Fermilab's Legal department to set up a Cooperative Research and Development Agreement (CRADA) or a Work For Others (WFO – others being non-DOE labs) between Fermilab and the small business. Her office will also create a Project and Task number that will be loaded into Kronos for charging.

4. Sample Proposal

The companion document (SBIR_Documents_Sample.pdf) contains a sample of the three documents (SOW, Budget, Budget Justification) described in these guidelines. The sample is for a project, "DE-FOA-0000413 – Framework for Metrics Correlation and Analysis Service" that was proposed by TechX Corporation as a follow-on to our previous relationship and in response to the funding opportunity announced by the DOE in September 2010. (See Funding Opportunity Announcement, FOA, in companion document SBIR/STTR_FOA_2011_Phase_I.pdf). Note the only difference (for Fermilab) between a SBIR and STTR is in the total budget and the percent that can or must be allocated to subcontractors. In this specific case, the SBIR is for up to \$150,000 with up to 33% to a subcontractor and the STTR is for up to \$100,000 with at least 30% to the subcontractor (research institution).